

533 Rec'd PCT/PTO 14 AUG 2001

FORM PTO-1390 REV. 5-93		US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEYS DOCKET NUMBER <b>P01,0271</b>
<b>TRANSMITTAL LETTER TO THE UNITED STATES          DESIGNATED/ELECTED OFFICE (DO/EO/US)          CONCERNING A FILING UNDER 35 U.S.C. 371</b>			U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>09/913451</b>
INTERNATIONAL APPLICATION NO. <b>PCT/DE00/00463</b>	INTERNATIONAL FILING DATE <b>18 February 2000</b>	PRIORITY DATE CLAIMED <b>18 February 1999</b>	
TITLE OF INVENTION <b>CONFIGURABLE ADD-DROP MULTIPLEXING DEVICE AND OPTICAL WAVELENGTH DIVISION MULTIPLEX TRANSMISSION SYSTEM (Title Amended)</b>			
APPLICANT(S) FOR DO/EO/US <b>Detlef Stoll et al</b>			
Applicant herewith submits to the United States /Designated/Elected Office (DO/EO/US) the following items and other information:			
1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay. 4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination will be made by the 19th month from the earliest claimed priority date. 5. <input checked="" type="checkbox"/> A copy of International Application as filed (35 U.S.C. 371(c)(2)) a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) 6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)) a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). <b>Executed</b> 10. <input checked="" type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). <b>Items 11. to 16. below concern other document(s) or information included:</b> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (PTO 1449, Prior Art, Search Report). 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included. <b>(SEE ATTACHED ENVELOPE)</b> 13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 14. <input checked="" type="checkbox"/> A substitute specification - <b>Marked up copy of Substitute Specification.</b> 15. <input type="checkbox"/> A change of power of attorney and/or address letter. 16. <input checked="" type="checkbox"/> Other items or information: a. <input checked="" type="checkbox"/> Submission of Drawings - <b>Four sheets of drawings</b> b. <input checked="" type="checkbox"/> <b>EXPRESS MAIL #EL655301823US dated August 14, 2001.</b>			

**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**

Search Report has been prepared by the EPO or JPO ..... \$860.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) ..... \$690.00

No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but  
international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) ..... \$760.00Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search  
fee (37 C.F.R. 1.445(a)(2)) paid to USPTO ..... \$970.00International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims  
satisfied provisions of PCT Article 33(2)-(4) ..... \$ 96.00**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the  
earliest claimed priority date (37 C.F.R. 1.492(e)).

\$ 0

Claims

Number Filed

Number  
Extra

Rate

Total Claims

16

- 20 =

0

X \$ 18.00

\$ 0

Independent Claims

3

- 3 =

0

X \$ 80.00

\$0

Multiple Dependent Claims

\$270.00 +

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$ 0

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be  
filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)

\$

**SUBTOTAL =**

\$ 860.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from  
the earliest claimed priority date (37 CFR 1.492(f)).

\$

**TOTAL NATIONAL FEE =**

\$ 0

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be  
accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property

+

**TOTAL FEES ENCLOSED =**

\$860.00

Amount to be  
refunded

\$

charged

\$

a. ☒ A check in the amount of **\$ 860.00** to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate  
copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment  
to Deposit Account No. **501519**. A duplicate copy of this sheet is enclosed.**NOTE:** Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be  
filed and granted to restore the application to pending status.**SEND ALL CORRESPONDENCE TO:**Schiff Hardin & Waite  
Patent Department  
6600 Sears Tower  
Chicago, Illinois 60606  
CUSTOMER NO. 26574

SIGNATURE

Brett A. Valiquet

NAME

27,841

Registration Number

533 Re PCT/PTO 14 AUG 2001

09/913451

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

**"Express Mail" Mailing Label Number EL655301823US**

**Date of Deposit: August 14, 2001**

I hereby certify that this CORRESPONDENCE IS BEING DEPOSITED WITH THE United States Postal "Express Mail Post Office To Addressee" SERVICE UNDER 37 CFR 1.10(c) on the date indicated above and is addressed to:

**Hon. Assistant Commissioner for Patents  
Washington, D. C. 20231**

**Case Number: P01,0271**

**International Application No.  
PCT/DE00/00463**

**International Filing Date  
18 February 2000**

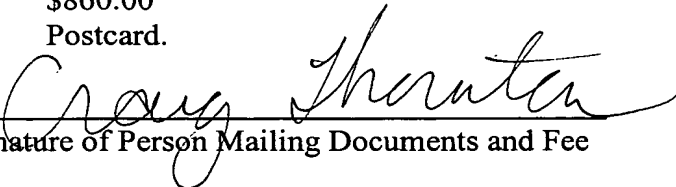
**Priority Date Claimed  
18 February 1999**

**Title: "CONFIGURABLE ADD-DROP MULTIPLEXING DEVICE AND OPTICAL  
WAVELENGTH DIVISION MULTIPLEX TRANSMISSION SYSTEM" (Title  
Amended)**

**Applicants: Detlef STOLL et al**

**Enclosed are the following documents:**

PTO 1390 in duplicate;  
International Application as filed  
English Translation  
Amended Pages  
Translation of Amended Pages  
Substitute Specification  
Marked up copy of Substitute Specification  
Preliminary Amendment  
Four sheets of drawings  
Executed Declaration  
Executed Assignment (Separate Envelope)  
\$860.00  
Postcard.

  
Signature of Person Mailing Documents and Fee